

EA Principles

The following set of principles should guide the design and construction of an organization's information systems and technology infrastructure to meet the requirements defined by the enterprise's business architecture. It is intended that these principles be considered as a set, not individually. Single principles should not be taken out of context.

Format

For the reader's convenience, each principle is presented in this format:

- Principle Statement: The goal or directive that should be followed or attained (shown in **black**)
- Context: An optional description that provides additional clarification for the principle statement (shown in **dark red**).
- Rationale: why the principle is included (shown in **green**)
- Implication: benefits or consequences of implementing the principle (shown in **dark blue**)

Architecture Principles

Architecture principles are a foundation for the development of an enterprise architecture (EA). The architecture principles define the spirit of the EA in that they are an attempt to capture the thinking behind it. Principles have a timeless quality because they define a value system. While methodologies frequently change, values as a rule do not.

The architecture principles have been grouped into nine categories of architecture principles:

- Enterprise
Enterprise principles constitute the rules, constraints, and behaviors that the State of Wisconsin enterprise will abide by in its daily activities. Enterprise principles provide the foundation for the development, implementation, and maintenance of the Enterprise Architecture.
- Management and Organization
Management and Organization principles relate to how the State of Wisconsin engages its information technology resources to implement the EA. Areas included are planning, decision-making, and execution of

information technology activities within the extended enterprise of Wisconsin state government.

- Technology

Technologies are tools or tool systems by which we transform parts of our environment and extend our human capabilities¹.

- Application Delivery

Application Delivery principles define how to design and deliver applications; define how applications interrelate and integrate; and promote common presentation standards to facilitate rapid training and implementation of new applications and functions. Good application delivery enables a high level of system integration, reuse of components, and rapid deployment of applications in response to changing business requirements.

- User Interface

In information technology, the user interface can be described as the total user experience. This may include the aesthetic appearance of the device, response time, and the content that is presented to the user within the context of the user interface.

User interface principles must address:

- Equitable Use: Accommodating *all* users in relation to electronic networks. Delivery of services must occur simultaneously for all accessibility needs.
- Flexibility of Use: Accommodating a wide range of individual preferences and abilities while promoting a degree of standardization and compatibility with various electronic information technologies.
- Simple and Intuitive Use: Ensuring ease of comprehension and use, regardless of the user's experience, knowledge, language skills, or concentration level.
- Perceptible Information: Communicating information effectively, regardless of the user's physical and sensory abilities, so that it can be used efficiently and comfortably with a minimum of fatigue.

- Security

Security principles pertain to all of the safeguards in an information system, including hardware, software, personnel policies, information practice policies, disaster preparedness, and the oversight of all these areas. The purpose of security is to protect both the system and the information it contains from unauthorized external access and from

¹ Tornatzky and Fleischer, 1990.

internal misuse. Security must be balanced against the need for access and the rights of citizens to privacy.

- System Management

System management is the management of the information technology systems in the enterprise. This includes the processes used for purchasing equipment and software, installation, configuration, maintenance (including enhancement and service updates), problem-handling, and determining whether objectives are being met. System management principles also address change management and the need for a common system for problem resolution.

- Data Management

Data management is the function of controlling the acquisition, analysis, storage, retrieval, and distribution of data. Data management can involve protecting the physical security of data, ensuring that backup and recovery procedures are in place, protecting confidential or private information in data, reducing redundancy in data, and establishing an enterprise data architecture.

- Centers of Excellence

Within the medical community, "centers of excellence" are used to promote innovative research and development activities. Often these centers of excellence allow one medical facility to specialize in advanced treatment for specific diseases and promote equalization of the high cost of providing medical services to the public among several medical facilities within a single community.

An information technology center of excellence may be either a stand-alone facility within an Executive branch agency, local unit of government, the University of Wisconsin, or a "virtual" center. A virtual center will be designed within several units of government. Virtual centers will provide cohesive, coordinated flow of matrixed services and programs within specific technical specialties.

Enterprise Guiding Principles

1. Promote a holistic or "whole government" approach while respecting the unique federal, state, and local unit of government roles, legislation, and mandates.

Rationale

- To promote a holistic approach will assist all by promoting trust and cooperation throughout the extended enterprise.
- To reduce redundancy and associated complexity
- To design IT infrastructure with a "whole government" approach, making its adaptation to facilitate changing government business processes easier and quicker

Implications

- Must spend a little more initially to obtain long-term goals, at an overall cost savings.
 - Consistency will make things work better together and ease integration.
 - Must accept that decisions could take longer to make, and solutions could require more time to implement.
 - Agencies and local units of government must occasionally concede their own preferences for the greater benefit of the entire State government. Trust will be critical to success.
 - Must promote a holistic approach will assist all by promoting trust and cooperation throughout the extended enterprise.
 - Must ensure the participation, input, and feedback from all levels of government within the extended enterprise².
2. Business requirements and processes must drive the development, adoption, and acceptance of the EA.

Context

To ensure the viability of the EA, the EA must accommodate the perspectives of both business and IT stakeholders.

² The State Chief Information Officer uses the term "extended enterprise" to refer to all three branches of state government, local units of government (i.e., county, city, municipal, school boards, law enforcement), and higher education (i.e., the University of Wisconsin system and the Technical College Board).

Rationale

- To improve business and business processes through the combined perspective of an IT system
- To promote the change of business processes, in relation to a new technology
- To avoid the costs of implementing technology for technology's sake

Implications

- Requires good communication between business and IT professionals.
- Must interact frequently and at multiple levels, not just at a management level, but throughout the organization.
- IT investments will be customer-focused and aligned with enterprise/business strategic goals.

3. IT systems should be designed for adaptability and flexibility, so they can be responsive to changes arising from legislation, societal needs, or other program modifications.

Rationale

- To enable the infrastructure to support the changes that often occur in business processes within the extended enterprise
- To make infrastructure more adaptable to IT changes and IT market forces
- To enable business process improvement
- To make integration of systems easier, and faster, with less process overhaul
- To enable systems to evolve to meet business needs/changes

Implications

- Systems may initially require more time to design and more systemic thinking as transactions cross traditional system boundaries.
- Must expect higher initial costs, but less costly integration.
- System will have a longer life; therefore, return will be longer for the system.
- A system could be sub-optimal in the short term in order to gain long-term optimization.
- Must define performance metrics for flexibility and adaptability.

4. To ensure fiscal responsibility with respect to information technology (IT), the State of Wisconsin will adopt a formal investment strategy for IT acquisitions.

Context

This investment strategy will clearly articulate the expected life of an IT system. It will consider all phases of an IT system life cycle, including acquisition, support, benefits and associated costs for customers, Wisconsin citizens, regulated entities, other agencies in the extended enterprise, and our business partners.

Rationale

- To lead to higher quality solutions
- To enable improved planning and budget decision-making
- To lead to realistic budgeting
- To lead to appropriate system quality decisions (right-sizing)

Implications

- Requires the development of a formalized investment strategy.
- Requires a biennial budget, annual budget, and capital finance planning, processes, and procedures that quantify, audit, and monitor IT appropriations and expenditures at the agency and enterprise levels.
- Requires all agencies to agree to the use of a common investment model.
- Must consider what will be the actual lifetime of the system.
- Must create methods for linking IT investments to business needs and aligning with the state's strategic goals.
- Must create methods for linking the IT investment strategy to portfolio management and to the strategic planning process.
- Requires more planning and resources to do a formalized investment process.
- Must change the business view of technology to include IT investment strategies.
- Should encourage extended enterprise entities to adopt this same formal investment strategy for IT acquisitions.

5. Convergence towards the EA will be encouraged with timing consistent with investment strategy for the extended enterprise.

Context

Convergence towards the EA will take place as new applications are built, technologies are deployed, and old systems are refreshed or retired. Exceptions to the EA may be endorsed in specific cases, where the benefits of consensus for a specific technology solution outweigh the adoption of the EA.

Rationale

- For EA to be adaptive and to be able to evolve to accommodate changes in business and technology.
- To avoid "cold turkey" conversions, which are very expensive.
- Convergence over time preserves investment while promoting the benefits of the EA.

Implications

- Delayed convergence can reduce the benefits of the EA.
 - Requires a realistic and attainable approach to migration to the EA.
 - Requires an explicit transition strategy for existing systems within departments and agencies once a target technology is identified.
 - Allows for premature termination of a system, where it makes sense.
 - Does not allow for waiting forever.
 - Requires a business case for exceptions, an exception process, and an exit strategy.
 - Must define temporary or permanent exceptions, and exit strategies for temporary exceptions.
 - Requires funding to get out of obsolete technology.
6. The EA may identify more than one target technology solution, as a single solution may not be applicable or feasible in all situations. When more than one target technology solutions is endorsed by the EA, one solution should be designated as the primary target for convergence.

Context

The EA should reflect the desire to achieve convergence within a diverse organization. However, there may be limitations towards convergence of a single solution. Alternatives may be necessary to meet business needs.

Therefore, endorsing primary and secondary technology choices may be necessary to fulfill the business need.

Exceptions to the EA may be endorsed in specific cases, where the benefits of consensus for a specific technology solution outweigh the adoption of the EA. In some cases, a lighter-weight solution may be a primary solution, preferable to an alternative, more robust solution³.

Rationale

- To reduce technology solutions from many to two or significantly fewer, when a single solution is not feasible
- To avoid forcing higher cost when one size does not fit all
- To reduce complexity but fulfill a business need by using primary and secondary solutions

Implications

- Requires the development of impartial rules and decision criteria to distinguish when unique requirements should take precedence over the government-wide approach.
 - Must recognize that it is generally more costly to support two systems rather than one.
 - Must recognize that designing a repeatable methodology for endorsing primary and secondary technologies may be difficult.
 - Must recognize that migration strategies are more complex when primary and secondary technology choices exist.
 - Must focus investment on primary technology choices.
 - Need to address the costs to both the business and IT areas.
7. In many cases, the EA will apply to all stakeholders, specifically where there is sharing of data, application architecture, and system integration.

Context

Convergence and adoption of the EA will be guided by a variety of factors, including investment strategy, business needs, and other factors, such as legislation.

³ For example, take Microsoft Office Professional versus Microsoft Works. MS Professional contains MS Access, but not all users need this application. It may make sense to provide the majority of the users with MS Works and a select minority with MS Office Professional.

Rationale

- To apply the EA throughout the extended enterprise, especially where opportunities for horizontal and vertical integration are identified⁴
- To tie the EA to the business of the extended enterprise
- To have consistent technology integration within the extended enterprise
- To streamline application integration and data sharing
- To reduce costs through economies of scale

Implications

- Must develop business driver/business decision criteria to determine what levels of the EA apply to different stakeholders within the extended enterprise.
- Will reduce costs for local government.
- Will indirectly reduce programmatic operational costs.
- Must broker consensus.
- Must provide opt-out strategies if there are significant costs.
- Realize that potential increased one-time costs may occur to achieve long-term operational reductions.
- Reference models must clarify where EA should apply to all stakeholders.

Management and Organization Principles

1. The management and governance of the EA will be open and transparent to all stakeholders within the extended enterprise.

Context

Governance is a vital and important component in development and management of the EA. Communication needs to be open, honest, frequent, and bi-directional between stakeholders and WEAT.

Rationale

- To engender trust between all parties.

⁴ Horizontal, within the context of government, refers to combining entities or agencies that are engaged in the same line of business or that perform the same type of functional service. This is often referred to as "horizontal integration." Vertical, within the context of government, refers to all levels of governmental hierarchy along a line of business. This is often referred to as "vertical integration." For example, social services are subject to a governmental hierarchy of federal, state, and local units of government.

- To encourage buy-in from the stakeholders, resulting in faster and more complete adoption of the EA.

Implications

- EA must be integrated with other IT governance entities within the extended enterprise.
- Must have buy-in and support from the Business Leadership Council, and from the established working groups and technology domains chartered by the Technology Leadership Council.
- Requires a communication plan that must be followed.
- Open review periods will be built into the EA processes.

2. The processes for selecting technology must be open and transparent.

Context

IT technology decisions must consider business input from stakeholders and be open, transparent, and well documented. This requires allowing time for necessary consideration of issues by stakeholders, technical staff, and management. Once a decision has been reached, unnecessary, unproductive debate should not continue.

Rationale

- To lead to decisions being made in an open manner that will stand up to later scrutiny and audit.
- To allow stakeholders and technical staff sufficient opportunity to identify important information regarding potential technology investments.
- To ensure that decisions are made according to appropriate investment strategies.
- To encourage the necessary analysis of issues without becoming bogged down in details.
- To avoid unproductive heckling and back-biting after decisions are made.
- To avoid playing favorites with particular vendors or technologies.
- To promote a healthy IT culture where the best overall solutions are identified and implemented.

Implications

- Decisions must employ and be guided by EA principles.
- Decision-making processes must allow ample time and opportunity for productive debate.
- Decisions must be well documented so that all parties know when the time for debate has ended.

3. Promote formal methods of IT systems engineering.

Context

Systems engineering includes all aspects of IT: application projects, infrastructure projects, and hardware projects. Use accepted systems engineering practices that apply to the design. Domains will identify and document formal processes as they apply to specific domains and will be the process owners.

Rationale

- To lead to measurement points that, in turn, lead to benchmarks.
- To enable improved quality assurance.
- To enable repeatability and consistency.
- To lead to right-sizing.

Implications

- Must minimize impacts upon partners.
- Must develop definitions of system engineering processes.
- Must agree on system engineering practices and methods.
- Must develop training in system engineering practices and methods.
- Must identify the formal methods for particular areas of technology.
- Must follow up for quality assurance.
- Must confirm that ROI is what was expected.
- Must use a disciplined, repeatable approach to development.
- Need a resource that will identify and document principles.
- Must use the Capability Maturity Model as a measurement of progress in the application of system engineering principles.⁵
- Domains must develop the formal processes.

⁵ A maturity growth model is designed for providers of IT services (e.g., management in hardware, software, operations, and software maintenance).

4. As new contracts and outsourcing agreements are established, these contracts and agreements will reflect and incorporate EA principles.

Context

This is one of the mechanisms by which we keep EA aligned with business. Outsourced work should not lead to exceptions to the EA just because they are outsourced.

Rationale

- To be successful, the EA must be integrated with all facets of IT system design, planning, and acquisition.

Implications

- Requires EA training for non-IT professionals in areas such as procurement.
- Need partnerships and good communications between business program areas, procurement, contract management, and IT organizations to obtain the benefits of EA.
- Must include EA-based requirements when IT procurements are part of non-IT contracts.
- Must change the view of business investments to include IT requirements.
- Must audit IT procurements and provide feedback mechanisms for EA.
- Must include EA-based requirements in procurement documents and contracts.

5. The success of the EA will depend upon consensus and trust among the stakeholders within the extended enterprise.

Rationale

- To have a balance: agencies must be ready to act unselfishly, and the enterprise must mitigate the burdens that solutions impose on agencies.
- To be fair: agencies that bear the costs for major initiatives that benefit the enterprise ought to be compensated in some manner.

Implications

- Achieving consensus may sometimes require recompense to make stakeholders “whole” when they are negatively affected by the implementation of the EA for the greater good of the extended enterprise.
 - Must identify what the compensation will be, and how it will be funded and factored into the total cost of the project.
 - Must manage costs and benefits so that overall equity is achieved across the extended enterprise.
 - The ROI for each project must identify its costs and savings.
 - Compensation to an agency acting in an unselfish manner should be factored into the total cost of the project.
6. The EA will promote technology equalization among stakeholders, as not all entities within the extended enterprise are funded at the same level.

Rationale

- Information technology automation often reduces program costs and provides rapid service delivery mechanisms; however, not all new programs have adequate funding for information technology.

Implications

- Must develop funding mechanisms to support this type of initiative.
- Must develop processes to promote cross-agency sharing of technical expertise.
- Must develop processes to ensure state- and federally-legislated program initiatives have adequate funding for information technology.
- Must perform gap analysis to find opportunities for technology equalization.
- Must involve the applicable budget organizations and the Legislature in identifying and establishing new funding mechanisms.

7. Training programs and consulting services must be provided to stakeholders to promote convergence and the effective application of the EA.

Context

Consulting services may take the form of mentoring staff, assisting project teams in defining their business and technical requirements; providing project management guidance; and providing procurement, acquisition, or contract/vendor management support.

Rationale

- Without some type of training, we cannot expect staff to know what EA is, how to apply the EA, what the target technologies are, and how to use them.

Implications

- Requires the development of a comprehensive training program.
- Must foster mentoring.
- Must identify how training and consulting will be funded and managed.

8. The EA should encourage professional development for permanent (FTE) staff.

Rationale

- Staff is our greatest resource.
- To reduce dependence upon long-term contracted staff.

Implications

- Must ensure that funding designated for technical training is not eliminated in times of fiscal crisis.
- Must include professional development plans in annual performance reviews.
- Must make a commitment to staff to provide opportunities for professional growth.
- Must ensure access to cost-competitive training alternatives.
- Must ensure that succession and knowledge transfer plans are developed and implemented for both permanent and contract staff.
- Must have greater opportunities for combined training.

Technology Principles

1. EA technology choices will be based on criteria including extensibility, interoperability, flexibility, adaptability, portability, and appropriate scalability.

Context

The principle applies to how we select a target technology for the EA.

Rationale

- To more quickly adapt to changing business requirements.
- EA technology choices will promote the integration of technologies based upon interfaces that utilize open standards where available.

Implications

- Criteria for the selection of EA target technologies will require evaluation with respect to extensibility, interoperability, flexibility, adaptability, portability, and scalability.
 - EA technology selections must balance agency versus enterprise interests and needs.
2. Reduce complexity and enable integration as much as possible to realize business process improvements within the extended enterprise.

Context

Customization taken too far increases cost and reduces adaptability.

Rationale

- Complex application systems with many data and transactional functions are difficult to manage, making change risky.
- To avoid dependency failures resulting from applications that are tightly coupled
- To design and implement applications that are accessible, perform well, and account for network and other dependencies

Implications

- Must promote and facilitate component-based application development.

- Must keep to a minimum the number of vendors, products, and configurations, allowing for maximum flexibility in implementing changes.
 - Must avoid overly complex configurations of components and discourage undue custom tuning, or customization of hardware and software based on transient, local, or other conditions.
 - Must maintain configuration discipline, sacrificing performance and functionality in some instances.
 - Must account for resource constraints.
3. Support pervasive standards and technologies under appropriate conditions.

Context

Using pervasive standards makes sense if:

- Reliance upon a single vendor is proactively managed
- Market forces are considered
- Cost of a pervasive proprietary standard is balanced with the cost to migrate to an open standard in the future
- The cost to migrate to interfaces that employ open standards is considered

Rationale

- To avoid dependence on weak or under-performing vendors
- To allow the extended enterprise to influence and stay current with industry standards and trends
- To encourage flexibility and adaptability in product replacement
- To avoid dependence on proprietary standards that become isolated

Implications

- Must establish criteria to identify weak or under-performing vendors and products.
- Must assess the architectural fit of proposed solutions.
- Modify work practices and business workflow to increase standards compliance.
- Must manage dependencies on proprietary vendor technologies.

4. In order to maximize integration throughout the extended enterprise, systems should incorporate standards that promote system interoperability.

Context

Where applicable, incorporate best practices based upon open standards, best practices from like organizations, or pervasive standards based upon a vendor's or provider's market position.

Rationale

- To have systems that include application interfaces based upon open standards
- To promote application module reuse
- To support leveraging innovations developed by other extended enterprise entities

Implications

- To avoid reinventing the wheel, must research what is currently within the marketplace and how others approach similar business issues.
- Must define what we consider to be an open standard application interface.
- Must be careful not to constrain innovation.
- Must have a component repository in order to identify opportunities for application module reuse.
- Must look for alternative funding sources that will foster innovation.
- Must write modules that are reusable.

5. Use open source where a sound business case and investment strategy is present.

Rationale

- Open source is a viable alternative to commercial, off-the-shelf technology products and should be considered when making a technology selection.
- Open source applications can provide innovations that are not available in the commercial marketplace.

Implications

- Training and documentation may be limited, thereby increasing costs.
- Product technical support may be limited, thereby increasing costs.
- Must consider whether the migration cost might be high even though initial costs might be low.
- Must consider how well supported a solution is in the industry.

6. Approach the development of systems from a cross-functional, horizontal government perspective and implement systems in such a way that promotes technology reuse.

Rationale

- If government services are thought of at a higher level, systems can be designed with reduced complexity and designed to promote technology reuse.
- To achieve high-efficiency development and to lower costs of support, training, and testing through the creation and reuse of standard elements

Implications

- Requires a different level of abstraction than what government traditionally uses.
- Might run into "turf" issues.
- Might find difficulty funding something from a functional rather than an agency perspective.
- Implementation requires a high degree of communication and integration across the enterprise.
- Must create incentives for participation in the component repository.
- Must make contributions to and use of the component repository easy.

Application Delivery Principles

1. To the extent possible, the integration of the infrastructure must enable the provision of State of Wisconsin information and services to citizens, businesses, and other governments (i.e., municipal, federal, and international).

Context

Specifically, the EA will promote horizontal (cross-agency) and vertical (cross-jurisdictional) integration. Extended enterprise services need to be made seamless to Wisconsin citizens and businesses.

Rationale

- To offer seamless services by applying information technology to the integration of services
- To have more consistency, more efficiency, and less redundancy

Implications

- Must determine how to fund solutions from functional rather than agency perspectives.
 - Recognize the challenges of integrating data among various levels of government.
 - Need ways to identify redundancies.
 - Need more effective change management.
 - Need portfolio management mechanisms for both vertical and horizontal integration.
 - Must have adequate staffing and support for both horizontal and vertical integration.
2. Support appropriate client delivery channel preferences for accessing government services, including both electronic channels and more traditional channels, such as counter- and US Postal-based services.

Rationale

- We cannot assume that a single service delivery channel will reach all constituents.
- Citizens, businesses, and partners want channels of service delivery from the extended enterprise that suit their individual preferences and circumstances.

- Depending on the nature of the program being delivered, the circumstances of the transaction, and the sensitivity of the information involved, specific services lend themselves to specific channels.
- Multiple delivery channels also protect against having a single point of failure and help ensure that vital services can still be delivered.

Implications

- Clients will be able to access a number of delivery channels.
 - IT systems should be designed to be delivery channel independent.
 - Must associate cost with the maintenance of multiple service delivery channels.
 - Must determine when phase-in and phase-out of a service delivery channel is appropriate.
3. Promote application consolidation, standardization, and integration where significant benefits can be realized through the sharing and reuse of data, information, and applications.

Rationale

- To avoid the creation of additional silos of data and applications.
- To avoid redundant efforts within the extended enterprise.

Implications

- Requires communication and knowledge of activities at the extended enterprise and agency level.
 - Requires a shared application portfolio.
 - Requires a component repository.
4. Embrace a formal methodology for IT portfolio management within the extended enterprise.

Context

IT portfolio management comprises a number of sub-disciplines, including IT asset management (ITAM), application portfolio management (APM), project portfolio management (PPM), and application component management.

Rationale

- To have an accurate inventory of systems applications and data within the extended enterprise
- To identify opportunities for sharing and reuse
- To strengthen management of IT investments

Implications

- Must view IT portfolio horizontally and vertically for opportunities.

5. Government, as the steward of public funds, needs to balance the desire for new information technology versus the business value of potential investments.

Rationale

- Government has the obligation to use public money in a fiscally responsible manner.

Implications

- Must provide business justification for IT investments.
- New technology projects must be justifiable.

6. The goal for the design and implementation of systems should be adequate technical quality to meet the business requirements, and not excessively more.

Context

Systems should be designed and implemented to be good enough to meet the need, without superfluous features and capabilities, lest more effort be spent on the extra functionality than was required for the necessary functionality. Systems should be designed with sufficient foresight into future use of the system so as to provide adequate flexibility and adaptability to changes.

Rationale

- To avoid unjustified complexity and cost

Implications

- Must determine how to know when a system is good enough.
- May require business process reengineering.
- Requires scope management.
- Must develop a good business case before designing a system.

User Interface Principles

1. Extended enterprise information technology systems must be accessible to all citizens.

Rationale

- The extended enterprise entities have a responsibility to provide services to all citizens and address their specific access requirements.
- To be responsive to the increasing diversity of Wisconsin society

Implications

- Must pursue “universal design” within the context of technology, which includes the design of products, systems, processes, and environments.
- Services must be widely accessible without being cost-prohibitive.
- Must comply as necessary with Section 508 of the Americans with Disabilities Act (ADA).

2. Support appropriate client delivery channel preferences for accessing extended enterprise services.

Context

Systems must be designed with the knowledge and understanding of the population the system will be serving.

Rationale

- To ensure that guidelines for citizen interfaces are not constrained by narrow assumptions about location, language, systems training, or physical and cognitive capabilities

Implications

- Products and services may be accessed in a variety of ways, but must be available to users in a consistent, accessible fashion.
- Strive for a common look and feel, and consistent service, regardless of choice of delivery channel.
- Must comply with standards for privacy and security.

Security Principles

1. IT systems must be implemented in adherence with government security, confidentiality, privacy policies, and laws.

Rationale

- To enhance public trust
- To protect government assets
- To enable compliance with requirements for public funding and grants
- To protect privacy of citizens, businesses, and other partners

Implications

- Must identify, publish, and keep applicable policies current.
- Must periodically audit/follow up on IT systems (e.g., for HIPPA).
- Must formulate minimum standardized security policies.
- Must allot sufficient time and resources for security policy development.
- Must consider indirect implications of security policy (e.g., staffing to perform audits or check for vulnerabilities).

2. Data must be protected against unauthorized access, denial of service, and both malicious and accidental modification.

Context

Data includes paper records, scanned images, printouts, microfiche, as well as digitally stored information. Sensitive and confidential information should not be accidentally provided or published.

Rationale

- To minimize improper use or loss of data, either of which can have serious business and legal consequences
- To minimize security violations, which impair integrity and jeopardize the viability of government
- To limit opportunities for unauthorized access, so that people are less likely to do inappropriate things

Implications

- Must implement approaches/policies to minimize improper use of data.
- Must implement approaches/policies to minimize security violations.
- Must establish follow-up procedures for security alerts.

- Must regularly examine logs and alerts and execute follow-up procedures.
 - Must not secure data to the point that responding to open records requests becomes prohibitively expensive.
 - Must consider implications of defining an RDA.
 - Must design and account for open records requirements in our systems (e.g., open records requirements were not considered when e-mail was first implemented).
 - Must provide staffing and resources to perform the functions and duties outlined above.
3. There must be accountability for security, which includes the appropriate design and use of audit functions and system monitoring tools.

Rationale

- To enhance public trust
- To have accountability, there must be auditing
- To avoid data loss or data corruption
- To ensure data is credible
- To identify inappropriate access
- To prevent security breaches, which have harmful and expensive consequences

Implications

- Require monitoring compliance.
 - Must design audit functions and cross-checks into systems.
 - Must provide resources to monitor. Monitoring is resource-intensive.
 - Must define processes for following up if potential security problems are found.
4. A well-defined security policy promotes sharing by removing uncertainty.

Rationale

- To enhance public trust.
- To provide a clearly articulated policy for use of information.

- To prevent destruction of and avoid mishandling of security information (e.g., chain of custody for evidence).

Implications

- Must make security, confidentiality, and privacy requirements clear to designers, developers, etc.
- Additional expenses may be required.
- Need training to comply with policies.
- Must consider implications of defining an RDA.
- Must obtain advice from legal counsel as appropriate.
- Must institute policies that ensure appropriate background checks for staff.
- Must provide education for staff who work with sensitive or confidential information.

System Management Principles

1. IT must plan, design, and construct appropriately for growth and expansion of services across the extended enterprise.

Rationale

- To be more cost effective
- To reduce maintenance costs
- To enable quicker response to growth and change

Implications

- Must make a culture shift towards planning for adaptation (e.g., plan for systems to adapt).
- Must develop processes to collect information and ways to predict growth from historical trends.
- Must promote capacity planning.
- Must recognize the tradeoffs between the increasing high costs of labor and decreasing costs of technology.

2. Formal methodologies for IT change management must be established and followed.

Rationale

- To improve the quality and availability of our systems
- To ensure repeatability and consistency of system management processes

Implications

- Minimizes negative impact upon partners.
- Must agree on practices and methods and follow them.
- Must develop and document well-defined system management processes.
- Must develop a process to monitor for compliance and follow that process.
- Following system management processes may be cumbersome and slower in the beginning.
- System management requires advance planning.

3. Promote the use of common systems for IT problem resolution.

Rationale

- To enable improved quality assurance and system availability
- To enable the development of a knowledge base for problem resolution
- To provide communication to our customers when problems occur

Implications

- Staff must use problem resolution systems.
- Problem resolution systems must be efficient for the staff to use.
- A view of the problem resolution system should be available to customers.
- Must establish and monitor performance metrics for IT problem resolution.
- IT problem resolution has to be more general than would be appropriate for any individual agency. (For example, RMS would need improvements if it were to be an enterprise solution for IT problem management/resolution.)

4. Implemented infrastructure must be robust, responsive, and reliable with appropriate redundancy.

Context

Infrastructure⁶ must be appropriately scalable and services must be structured and priced appropriate to the differing needs of agencies. Appropriate redundancy requires balancing the investment made for high availability against the defined business needs (i.e., to seek right-sizing). Robustness means that the infrastructure design must take into consideration likely points of failure and provide backup and redundant components where required.

Rationale

- To adequately protect against system failure while not wasting resources
- An enterprise approach would be the best way to leverage the necessary IT capital investments to ensure high availability.
- To avoid excessive infrastructure and support service costs
- To leverage economies of scale where appropriate

Implications

- Need to consider cost, risks, time redundancy, and the context (e.g., disaster recovery is different from business continuity).
- Must define and discover business requirements for system availability and successfully test against those requirements.

5. Service providers must address and facilitate business continuity, security, and disaster recovery. These services should be provisioned in a manner appropriate to the criticality of the data and applications involved.

Rationale

- The extended enterprise provides many essential services that, especially in times of crisis, must continue to be available upon demand, and recovery must occur within a compressed timeframe.

Implications

- Must identify and prioritize critical business functions.
- Must ensure that communications systems are available, especially in times of crisis.

⁶Infrastructure is the basic framework of an organization or operation. Infrastructure components are units of technology (hardware, software, networks, platforms, etc.) that support the flow and processing of information and determine how the organization functions and how flexible it is to meet future requirements.

- Must define acceptable recovery times.
- Must develop and test disaster recovery and business continuity plans.
- Must periodically review and update test disaster recovery and business continuity plans.
- Must balance costs against risks.
- Must promote awareness in order to provide funding.

Data Management Principles

1. Each individual data item has a single steward or authoritative source, clearly defined locations, and is accessible. Authoritative data must be accessible and available for reuse by any entitled systems or business processes.

Rationale

- Reducing duplication requires that there be an authoritative source for information about that data
- More effective decision-making requires increasing the integrity and relevance of data, which requires having an accurate inventory of where the data is stored.
- Data is a strategic asset that must be shareable and accessible to gain maximum value.

Implications

- Must have time and resources to identify and specify authoritative sources.
 - Must establish government-wide procedures to manage data access and ensure data security and integrity.
 - Must define stewards and their role.
 - Need a consolidated metadata repository for the extended enterprise.
2. Data stored in information repositories within the extended enterprise should be widely available and accessible by all entities within the state extended enterprise, by federal agencies, and by other appropriate partners and entities.

Rationale

- Information that is shared will maximize the effectiveness of business decision-making throughout the government and to external partners.

Implications

- Must create and define standards and processes for unifying data and information management.
 - Must establish data warehouses to facilitate information availability for decision making.
 - Need a consolidated metadata repository for the extended enterprise.
 - Must provide resources to establish and maintain a single metadata repository.
 - Must have an access mechanism for information repositories.
3. Data is an asset that must be managed for the benefit of the extended enterprise. Data must be shared to the maximum degree possible, without jeopardizing security and confidentiality.

Rationale

- The value of information is not always realized when it remains in isolated pockets.
- Required security and privacy cannot be sacrificed and may sometimes result in the inability to publicly share information.

Implications

- Must restructure data for easy access and management.
- Must organize business systems and databases according to subject matter, not by department, division, or unit.
- Must maintain data in its most appropriate format.
- Can share data by integrating systems rather than by sharing data directly.
- Data warehouses must be multimedia-capable to access and manipulate all forms of data stored in them.
- Must design network infrastructure to efficiently and cost-effectively transmit all forms of data adequately to meet business and performance requirements.
- Must make data and applications accessible via a variety of media.

4. Data is collected, protected, and maintained in accordance with appropriate standards and guidelines.

Rationale

- The extended enterprise must comply with applicable policies, statutes, and federal requirements (e.g., HAVA).
- Data is more likely to be shared when the standards and guidelines for sharing and protecting that data are documented and understood.

Implications

- Must provide training and education so that individuals are aware of standards.
- Must have communication plan to build awareness.
- Must define and document the appropriate standards and guidelines.

5. Records in electronic format must be preserved and maintained, and remain accessible for their designated retention period.

Context

Records must be appropriately disposed of once the designated retention period has expired.

Rationale

- Proper record maintenance is statutorily required.
- Keeping records longer than required is costly and wastes space and resources.

Implications

- Must provide resources for records identification and disposition.
- Must establish policies for record retention.
- Must establish systems to automate the record retention processes.
- Must establish an audit process.
- Must establish a process to destroy records in an appropriate manner.
- Must define and implement a process for monitoring records handling.
- Must create a communications plan to promote awareness of policies for records retention and disposition.

Center of Excellence Principles

1. The EA will promote organizational diversity and virtual organizations such as centers of excellence.

Context

The EA will encourage the extended enterprise entities to develop, promote, and make effective use of existing centers of excellence within the extended enterprise. The products and services provided by virtual centers of excellence are dependent on innovation and must be strongly customer based. Centers of excellence are not intended to be “for profit” revenue-generating centers.

Rationale

- A shared approach to services and infrastructure⁷ is the best way to leverage IT capital investments. This eliminates duplicate infrastructure and support services, and leverages economies of scale where appropriate.
- It is important to keep technology staff well-versed in business problems and requirements, which requires frequent interaction between technology staff and agency business staff.

Implications

- The Division of Enterprise Technology must work with government, university, and industry partners to develop brokering agreements for services via centers of excellence and to develop service rate structures. This will support the delivery of services within centers of excellence.
- Must structure and manage virtual centers of excellence in such a way that they are seen by their customers as identifiable and complete organizations (i.e., each center as a single cohesive unit to its customers) that provide for customer satisfaction, reduced time to market, and adaptability to changes in the surrounding environment.
- Those providing services⁸ either as stand-alone or virtual centers of excellence must be responsive to their stakeholders’ business needs.
- Must establish and define performance metrics for center of excellence operational maturity.

⁷ Infrastructure is the basic framework of an organization or operation. Infrastructure components are units of technology (hardware, software, networks, platforms, etc.) that support the flow and processing of information and determine how the organization functions and how flexible it is to meet future requirements.

⁸ Applications or infrastructure may be provided internally through Division of Enterprise Technology enterprise services or through a center of excellence.

- Must provide resources to support the centers of excellence until they attain operational maturity.
 - The Division of Enterprise Technology must provide brokering services to prioritize, facilitate, and support the growth of centers of excellence.⁹
2. Facilitate change, encourage IT research and development, and promote integrating new technologies within the extended enterprise.

Context

IT is a rapidly and continually evolving field.

Rationale

- Centers of excellence will promote efficient innovation in specific, specialized technologies.

Implications

- Must have grant writing, management support, and base funding to develop innovative technologies within centers of excellence.
- IT governance bodies must identify and prioritize which emerging technologies require further investigation.
- Must adequately fund ongoing research, development, and testing of new and emerging technologies.
- Must provide to the enterprise with sufficiently knowledgeable staff and resources (e.g., laboratory facilities) to investigate emerging technologies.
- Must establish an extended enterprise test laboratory for systems integration and interoperability testing.

⁹A broker in the virtual center of excellence context is the facilitating mechanism to identify and allocate the appropriate resources to fulfill a client demand. The broker will serve as the mechanism supporting the required customer services, the selection of resources, and the creation and management of the workflow.